



USAID Scientific Integrity Policy

A Mandatory Reference for ADS 200

New Edition Date: 08/01/2012

Responsible Office: PPL

File Name: 200mbq_080112

Table of Contents

Executive Summary	3
Abbreviations	4
Introduction	5
Purpose.....	5
Background	5
Role of scientific and scholarly activities in sustainable development and humanitarian assistance.....	6
Definitions.....	6
Existing Laws and Policies	8
Principles for Maintaining Integrity in Scientific and Scholarly Activities	9
Implementation	12
Roles and responsibilities	12
Appendices.....	12
President’s Memorandum On Scientific Integrity	12
White House Office of Science and Technology Policy Memorandum on Scientific Integrity.....	14

Executive Summary

Recognizing the importance of the science underpinning US Government policies and programs, in March 2009 President Obama directed all Federal agencies to develop policies to safeguard the integrity of scientific activities. This policy provides a foundation for maintaining the integrity of USAID's scientific and scholarly activities.

USAID is the US Government's lead international development agency, for which science and technology are critical means for improving the quality of peoples' lives around the world. USAID occupies a unique space in the translation of scientific research and technology into development solutions, making use of and contributing to a broad range of tools and knowledge from the social sciences, natural sciences, and engineering. This document articulates the principles the Agency will follow to ensure the integrity of its scientific and scholarly activities, including how they are supported and carried out, and research findings are used and disseminated.

These principles pertain to five specific aspects of the Agency's activities:

- Protecting the scientific process from misconduct and from inappropriate influence
- Promoting access to scientific and technical information
- Maintaining a highly skilled technical and scientific staff
- Using federal advisory committees ethically and transparently
- Ensuring quality, methodological rigor, and ethical standards in all USAID-funded research activities

Future development of specific, implementation-focused policies and updates to existing policies in each of these areas will use the framework provided by this scientific integrity policy. These subsequent policies will be developed and implemented separately, with the Bureau of Policy, Planning, and Learning responsible for convening the appropriate working groups.

Abbreviations

ADS	Automated Directives System
CFR	Code of Federal Regulations
FAR	Federal Acquisition Regulations
FWA	Federal-Wide Assurance
S&T	Science and Technology
US	United States
USAID	United States Agency for International Development

Introduction

Purpose

Scientific and technical information guides USAID policy and programming decisions on a wide range of issues. Thus, this information and the processes by which we obtain it should be of the highest integrity. Further, to carry out our mission as responsible stewards of public funds, both the information and the associated processes must be of the highest integrity, and also be seen as such.

The integrity of scientific activities and the quality of the results are distinct, but integrity is recognized as a necessary prerequisite for high quality research results. This policy focuses on ensuring the integrity of scientific and scholarly activities conducted by and for USAID.

Recognizing the need for a diverse set of approaches within USAID, the policy articulates the basic principles of scientific integrity. These principles lay the foundation for future guidance on the support, use and conduct of scientific and scholarly activities, as well as complementary activities that foster the productive use of science and technology at USAID. Many of these principles already align with the high integrity that USAID staff maintain when conducting scholarly activities. The intention of this policy is to capture and employ these best practices throughout the Agency and introduce new ways that USAID can improve the use of science for development.

This policy applies to all scientific and scholarly activities (including those involving the social sciences), to all USAID operating units and all USAID staff, and to both intramural and extramural scientific and scholarly activities supported by USAID funding.

Background

USAID uses public resources to promote sustainable development in countries around the world. Reflecting the intent of the authorizing legislation of the US Agency for International Development (the Foreign Assistance Act of 1961, as amended) and embodying the aims of the National Security Strategy, the Presidential Policy Directive on Global Development, and the Quadrennial Diplomacy and Development Review, USAID pursues its goal through effective partnerships across the US Government, with partner Governments and civil society organizations, and with the broader community of donor and technical agencies.

The White House issued a memorandum in March 2009 to the heads of executive agencies specifying the need for policies to ensure the highest degree of integrity in scientific and technological activities. In December 2010, the Director of the White House Office of Science and Technology Policy (OSTP), John Holdren, issued a memorandum clarifying what should be included in these scientific integrity policies. This policy responds to those requests from the White House.

Role of scientific and scholarly activities in sustainable development and humanitarian assistance

As recognized in the USAID Forward reforms, science and technology play a key role in international development and have already been the source of many of the Agency's greatest successes. For example, oral rehydration therapy, the single-use syringe, and bed nets to protect against the spread of malaria are technologies that together have saved millions of lives. More recent successes, such as USAID funding the first-ever proof of concept that a microbicide (Tenofovir) can effectively and safely reduce the transmission of HIV from men to vulnerable women, show that science and technology will continue to be important. Meanwhile, biotechnology, materials science, informatics, and nanotechnology are expected to fuel the next phase of the post-industrial revolution in emerging and mature economies.

We must position the Agency to catalyze the next generation of advances. This includes the recognition that USAID occupies a unique space in the translation of scientific research and technology to development problems. To fully capitalize on our role requires that the knowledge we bring to this work be based on the strongest possible evidence and be of the highest integrity.

To support US national interests through sustainable development, research to identify, test, improve and adapt solutions to priority problems in developing countries is of central importance. New knowledge, innovations and technology generated from scholarly activities are critical to our collective understanding of the development process, of the countries in which we work, and of the people who are intended beneficiaries. USAID expects the scholarly activities it supports and conducts to produce new knowledge, products, and processes that will overcome current and future development challenges.

Beyond the generation of knowledge, USAID also engages in technical consultations and analytical work (e.g. systematic reviews and consensus conferences) to identify generalizable, evidence-based best practices. USAID supports the necessary documentation, development of tools, provision of technical assistance and dissemination activities to enable scientific results to inform programs and policies not just within the countries where the research takes place, but also in other countries where the results may be applied.

USAID also uses scientific information as a basis for decision-making in development assistance. Analyzing and rigorously applying scientific knowledge through the Agency's standard analyses such as environmental impact assessments, gender assessments, economic assessments, and others is necessary to achieve sustainable development; to protect lives, property, and the environment; and to realize optimal results for taxpayer dollars.

Definitions

To ensure consistency in the use of key concepts, the terms and classifications highlighted below will be used by USAID staff and those engaged in USAID-sponsored research or scientific and scholarly activities, except as modified by subsequent implementation guidance issued by the Agency.

Research. Systematic and creative activities undertaken to increase the knowledge base, including understanding of humankind, culture, environment, and society, and the application of this knowledge base to devise new interventions. Being hypothesis-driven, testable, and independently replicable are typical qualities of the research process.

Implementer. Any partner organization that produces products (including data, analysis, reports or recommendations) for the Agency or is responsible for carrying out actions on behalf of the Agency.

Scientific and Scholarly Activities. Those activities that are based on the natural sciences, social sciences, engineering, mathematics, or statistics or whose primary purpose is to support:

- Associated activities such as research, data collection, inventorying, monitoring, studying, analyzing, modeling, systematic assessments, or communicating these activities or their impact on policy and programmatic decisions;
- Basic research, or applied research for the creation and/or application of science- and technology-based S&T solutions to foreign policy and other development challenges;
- Science, technology, and engineering education, technical training, and exchanges that aim to build the capacity of individuals to engage in research, development, adaptation, and application of science and technology (S&T), or to enhance international S&T cooperation and exchange;
- The assessment of technologies being considered for use, including their appropriateness to the specific foreign policy and development contexts and conditions of individual countries and regions;
- Institutional capacities of public and private academic and research institutions, think tanks, other non-governmental organizations, private enterprises, and country governments to conduct research and apply science and technology; or
- The preparation and evaluation of policies and practices that are informed by or influence the development, acquisition and use of science and technology, including policies for assessment of and prioritization of S&T-based interventions. This also includes supporting the capacity of scientists, engineers, technologists, innovators, entrepreneurs, and policymakers to participate in related domestic and international policymaking.

Scientific Integrity. The condition resulting from adherence to scientific and professional values, principles, and practices when conducting scientific and scholarly activities and applying their products that ensures objectivity, clarity, and reproducibility, and that guards against bias, fabrication, falsification, plagiarism, outside interference, censorship, and inadequate procedural and information security.

Conflict of Interest. Any personal, professional, institutional, financial, or other interest that may influence an individual's actions or judgments when conducting scientific activities or using data and information and thereby significantly impair objectivity, create an unfair competitive advantage for any person or organization, or create the appearance of either.

Scientific Misconduct. (Source: Federal Policy on Research Misconduct, 65 FR 76260-76264, December 6, 2000.) Fabrication, falsification, or plagiarism in proposing, performing, or reviewing scientific activities, or in the products or reporting of the results of these activities. Misconduct also

includes intentionally circumventing policy that ensures scientific integrity, and actions that compromise scientific integrity. Scientific misconduct does not include honest error or differences of opinion. A finding of scientific misconduct requires that there be a significant departure from accepted practices of the relevant scientific community; the misconduct be committed intentionally, knowingly, or recklessly; and the allegation be proven by a preponderance of evidence.

- **Fabrication.** Making up data or results and recording or reporting them. Fabrication does not include documented use of modeling or statistical techniques.
- **Falsification.** Manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- **Plagiarism.** The appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Instances of misconduct will be handled in accordance with ADS sections 485 and 487.

USAID Staff. Any USAID staff member regardless of hiring mechanism, rank, position, or status, and including appointees, employees, personal services contractors, and interns.

Existing Laws and Policies

This policy shall complement and not be interpreted to conflict with the rights of an employee under the law, which includes the following:

- 65 FR 76260-76264 – Federal Policy of Research Misconduct
- 5 CFR 735 – Employee Responsibilities and Conduct
- 5 CFR 2635 – Standards of Ethical Conduct for Employees of the Executive Branch
- PL 106-554 – The Information Quality Act
- 5 U.S.C. 2302(b)(8) – Whistleblower protection
- 5 U.S.C. 1221 – Whistleblower Protection Act of 1989
- 5 C.F.R. 724 – No FEAR Act
- 5 U.S.C. 75 – Adverse Actions
- 5 U.S.C. 1214 – Discipline of federal employee by agency
- 3 FAM 4510 – Disciplinary and Adverse Actions
- 22 CFR 225 – Common Federal Policy for Protection of Human Subjects
- PL 89-544, Section 6 (as amended by PL 91-579) – Laboratory Animal Welfare Act 1966, 1970
- PL 92-463 – The Federal Advisory Committee Act

Those sections of USAID's Automated Directives System (ADS) that relate to the scientific integrity principles outlined here will also apply unless otherwise noted. For reference, those relevant ADS sections have been listed below. Mention of these ADS sections is included in this policy as the relevant topics are discussed.

- ADS 105 – Federal Advisory Committees

- ADS 110 – Whistleblower protection
- ADS 150s – Policies and guidelines on personal, financial, or institutional conflict of interest
- ADS 200 – Regulations and policies related to protection of environmental and cultural resources, research animals and human subjects while conducting research and scientific activities
- ADS 318 – Protection of confidential and proprietary information and respect for the intellectual property rights of others
- ADS 458 – Training and Career/Professional Development
- ADS 485 – Disciplinary Action – Foreign Service
- ADS 487 – Disciplinary and Adverse Actions Based Upon Employee Misconduct – Civil Service
- ADS 489 – Performance Based Actions - Civil Service
- ADS 557 – Public Information
- ADS 558 – Public Activity
- ADS 558.5.3 – Guidance on Clearance Process

Principles for Maintaining Integrity in Scientific and Scholarly Activities

To support a culture of scientific integrity and promote practices that ensure a high level of scientific and scholarly rigor in research, each of the Agency's operating units will:

Protect the Scientific Process from Misconduct and from Inappropriate Influence

- Shield the scientific and scholarly activities of Agency staff and of USAID-funded research institutions from inappropriate political or financial influence or the appearance of inappropriate political or financial influence;
- Ensure that neither political officials nor staff suppress or alter scientific or technical findings;
- Prevent alteration of the evidence base, veracity, or meaning of research findings and politically or financially motivated actions to affect the planning, conduct, reporting, or application of scientific and scholarly activities;
- Prevent alteration or revision of science-based technical analyses;
- Document the scientific findings and research results considered in policy decision making, subjecting them to peer review where appropriate and feasible, and ensuring public access to that information through established Agency procedures, except as restricted by statute, regulation, Executive Order, or Presidential Memorandum;
- Examine, track, and resolve all reasonable allegations of scientific misconduct while ensuring the rights and privacy of those covered by this policy and ensuring that unwarranted allegations do not result in slander, libel, or other damage; and
- Ensure that all employees are familiar with and understand their rights based on the No FEAR Act and the Whistleblower Protection Act [5 U.S.C. 2302(b)(8) and ADS 110] and that their rights are protected accordingly.

Promote Access to Scientific and Technical Information

- Communicate the methods and results of scientific and scholarly activities accurately, objectively, thoroughly, and in a timely manner consistent with the Open Government Initiative and in accordance with Agency procedures;
- Differentiate between scientific conclusions, data, policy implications, personal opinions, assumptions, hypotheses, and professional judgment in reporting the results of scientific and scholarly activities to other scientists, decision makers, and the public, and characterize associated assumptions and uncertainties;
- Ensure that intramural resources exist to facilitate the sharing and dissemination of institutional knowledge and work to build awareness of them and encourage their use;
- Encourage USAID and implementing partner staff to publish in scientific and technical journals and other media while adhering to appropriate professional standards for authoring, peer review, and responsibly publishing results;
- Ensure that there is a standard and well-communicated process for enabling knowledgeable spokespersons such as researchers and technical experts to speak to the media and the public about scientific matters based on their official work and areas of expertise in accordance with Agency guidelines and that in no circumstance do public affairs officers or others in positions of authority ask or direct USAID staff to alter scientific findings or interfere with their dissemination; and
- Encourage, when appropriate, country ownership and local, informed participation (e.g. through community advisory boards, technical advisory committees, or other mechanism) to guide research and other scientific activities and incorporate findings into strategies, policies and programs.

Support and Maintain a Highly Skilled Technical and Scientific Staff

- Ensure that the selection and promotion of employees involved in scientific and scholarly pursuits or in positions that rely on the results of scientific and scholarly activities give due consideration to the candidate's knowledge, credentials, and experience relevant to the responsibility of the position;
- Enable staff involved in scientific and scholarly pursuits or in positions that rely on the results of scientific and scholarly activities to engage with relevant scientific and scholarly communities of practice and participate in societies, committees, task forces, and other specialized bodies of professional societies for knowledge exchange, including through attendance at relevant scientific conferences and workshops;
- Afford USAID staff opportunities for continuing scientific education and technical training in their respective fields;
- Encourage diversity, including gender diversity, in the Agency's scientific and technical staff;
- Recognize and reward scientific and technical staff for contributions to their fields, including presenting papers and posters at scientific conferences, publishing scientific papers, receiving continuing education in their fields, teaching courses, and serving on editorial boards or as external peer reviewers for scientific journals, study sections, and technical review panels; and
- Allow scientists and other technical staff to receive honors and awards for their research and discoveries with the goal of minimizing, to the extent practicable, disparities in the potential for private-sector and public-sector scientists and technical staff to accrue the professional benefits of their work.

Convene and Use Federal Advisory Committees Ethically and Transparently

- Ensure a transparent process for the recruitment of new Federal Advisory Committee members;
- Make professional biographic information, including current and past affiliations, widely available to the public, subject to the Privacy Act;
- Base selection of committee members on relevant expertise, knowledge, and professional contributions to the subject area;
- Ensure that committee membership is fairly balanced in terms of points of view represented with respect to the functions to be performed by the committee;
- Make publicly available all conflict of interest waivers granted to the committee members, except when prohibited by law;
- Treat all committee reports, recommendations, and products as findings of the committee alone, rather than of the Agency or the U.S. government, except when explicitly stated in a prior agreement between the Agency and the committee; and
- Ensure awareness of the regulations outlined in The Federal Advisory Committee Act (PL 92-463; See ADS 105) and how they affect the use of Federal Advisory Committees.

Ensure Quality, Methodological Rigor, and Ethical Standards in USAID-funded Research Activities

- Implement rigorous, clearly defined independent peer review processes where feasible, using qualified experts where feasible and appropriate to the work of the operating unit and consistent with law;
- Build the evidence base for development assistance activities and incorporate findings from research and other scientific activities into development assistance activities, project design, and strategy formulation;
- Adhere to the regulations and policies related to protection of environmental and cultural resources, research animals and human subjects while conducting research and scientific activities (see ADS 200);
- Protect confidential and proprietary information and respect intellectual property rights (see ADS 318);
- Adhere to existing USAID policies and guidelines on personal, financial and institutional conflicts of interest while conducting scientific and scholarly activities or communicating their results;
- Protect scientific integrity and guard against fabrication, falsification, or plagiarism in proposing, performing, reviewing, or reporting research findings;
- Coordinate research and other scientific activities as appropriate, internally (e.g. within Bureaus and Missions), and externally (among implementing agencies, other agencies of the USG, and among other donors) to ensure efficiency, avoid duplication, and maximize the impact of resources; and
- Contribute to the development of developing country partners' capacity to conduct scientific research and use scientific research, including by contributing to developing professionals with scientific skills, with attention to gender equity.

Implementation

This policy establishes principles of scientific integrity to guide the Agency's conduct of research, management of scientific and scholarly activities, and use of scientific and scholarly information. To ensure its effectiveness, this policy and any subsequent implementation guidance should be communicated broadly both within the Agency and to our implementing partners. To provide guidance on their implementation, more specific policies will be developed. These correspond to the sections outlined above, and include policies addressing:

- Protecting the scientific process from misconduct and from inappropriate influence;
- Promoting access to scientific and technical information;
- Supporting and maintaining a highly skilled technical and scientific staff;
- Convening and using Federal Advisory Committees ethically and transparently; and
- Ensuring quality and integrity in USAID-funded research and scholarly activities

Together, it is expected that these policies will be mutually consistent and will address the implementation of all of the principles of scientific integrity outlined above. The development of each policy will be headed by the office or offices designated by the Bureau of Policy, Planning, and Learning, and will reference, modify, or replace prior Agency policies as needed to ensure the implementation of the principles specified herein.

Roles and responsibilities

This policy applies to:

- (1) All USAID missions, offices, and operating units
- (2) All USAID staff (as defined above); and
- (3) All implementers who likewise engage in such activities, or who assist with data collection and analysis, or with developing or applying the results of scientific and scholarly activities

The Bureau of Policy, Planning, and Learning, through the coordination of the Science and Technology Adviser to the Administrator and his or her successors, will lead the development of additional policy statements and the implementation of these principles through the Agency's practices and procedures. This might include, but is not limited to, reviewing operating unit compliance with this policy, developing training around scientific integrity, working through the Agency to create systems for reporting misconduct and conflicts, and incorporating the policy into agency practices and procedures.

Appendices

President's Memorandum On Scientific Integrity

THE WHITE HOUSE
Office of the Press Secretary
For Immediate Release March 9, 2009
March 9, 2009

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES
SUBJECT: Scientific Integrity

Science and the scientific process must inform and guide decisions of my Administration on a wide range of issues, including improvement of public health, protection of the environment, increased efficiency in the use of energy and other resources, mitigation of the threat of climate change, and protection of national security.

The public must be able to trust the science and scientific process informing public policy decisions. Political officials should not suppress or alter scientific or technological findings and conclusions. If scientific and technological information is developed and used by the Federal Government, it should ordinarily be made available to the public. To the extent permitted by law, there should be transparency in the preparation, identification, and use of scientific and technological information in policymaking. The selection of scientists and technology professionals for positions in the executive branch should be based on their scientific and technological knowledge, credentials, experience, and integrity.

By this memorandum, I assign to the Director of the Office of Science and Technology Policy (Director) the responsibility for ensuring the highest level of integrity in all aspects of the executive branch's involvement with scientific and technological processes. The Director shall confer, as appropriate, with the heads of executive departments and agencies, including the Office of Management and Budget and offices and agencies within the Executive Office of the President (collectively, the "agencies"), and recommend a plan to achieve that goal throughout the executive branch.

Specifically, I direct the following:

1. Within 120 days from the date of this memorandum, the Director shall develop recommendations for Presidential action designed to guarantee scientific integrity throughout the executive branch, based on the following principles:
 - (i) The selection and retention of candidates for science and technology positions in the executive branch should be based on the candidate's knowledge, credentials, experience, and integrity;
 - (ii) Each agency should have appropriate rules and procedures to ensure the integrity of the scientific process within the agency;
 - (iii) When scientific or technological information is considered in policy decisions, the information should be subject to well-established scientific processes, including peer review where appropriate, and each agency should appropriately and accurately reflect that information in complying with and applying relevant statutory standards;
 - (iv) Except for information that is properly restricted from disclosure under procedures established in accordance with statute, regulation, Executive Order, or Presidential Memorandum, each agency should make available to the public the scientific or technological findings or conclusions considered or relied on in policy decisions;

- (v) Each agency should have in place procedures to identify and address instances in which the scientific process or the integrity of scientific and technological information may be compromised; and
 - (vi) Each agency should adopt such additional procedures, including any appropriate whistleblower protections, as are necessary to ensure the integrity of scientific and technological information and processes on which the agency relies in its decision making or otherwise uses or prepares.
- 2. Each agency shall make available any and all information deemed by the Director to be necessary to inform the Director in making recommendations to the President as requested by this memorandum. Each agency shall coordinate with the Director in the development of any interim procedures deemed necessary to ensure the integrity of scientific decision making pending the Director's recommendations called for by this memorandum.
- 3. (a) Executive departments and agencies shall carry out the provisions of this memorandum to the extent permitted by law and consistent with their statutory and regulatory authorities and their enforcement mechanisms.
(b) Nothing in this memorandum shall be construed to impair or otherwise affect:
 - (i) authority granted by law to an executive department, agency, or the head thereof; or
 - (ii) functions of the Director of the Office of Management and Budget relating to budgetary, administrative, or legislative proposals.
(c) This memorandum is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, by any party against the United States, its departments, agencies, or entities, its officers, employees, or agents, or any other person.
- 4. The Director is hereby authorized and directed to publish this memorandum in the *Federal Register*.

BARACK OBAMA

###

White House Office of Science and Technology Policy Memorandum on Scientific Integrity

December 17, 2010

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: John P. Holdren
Assistant to the President for Science and Technology and
Director of the Office of Science and Technology Policy

SUBJECT: Scientific Integrity

On March 9, 2009, the President issued a Memorandum articulating six principles central to the preservation and promotion of scientific integrity and assigning to the Director of the

Office of Science and Technology Policy the responsibility for ensuring the highest level of integrity in all aspects of the executive branch's involvement with scientific and technological processes.

Consistent with the President's memorandum, I am issuing this memorandum to provide further guidance to executive departments and agencies (agencies) to implement the Administration's policies on scientific integrity.

I. Foundations of Scientific Integrity in Government

Scientific and technological information is often a significant contributor to the development of sound policies. Thus it is important that policymakers involve science and technology experts where appropriate and that the scientific and technological information and processes relied upon in policymaking be of the highest integrity. Successful application of science in public policy depends on the integrity of the scientific process both to ensure the validity of the information itself and to engender public trust in Government. For this reason, agencies should develop policies that:

1. Ensure a culture of scientific integrity. Scientific progress depends upon honest investigation, open discussion, refined understanding, and a firm commitment to evidence. Science, and public trust in science, thrives in an environment that shields scientific data and analyses from inappropriate political influence; political officials should not suppress or alter scientific or technological findings.
2. Strengthen the actual and perceived credibility of Government research. Of particular importance are: a) ensuring that selection of candidates for scientific positions in the executive branch is based primarily on their scientific and technological knowledge, credentials, experience, and integrity, b) ensuring that data and research used to support policy decisions undergo independent peer review by qualified experts, where feasible and appropriate, and consistent with law, c) setting clear standards governing conflicts of interest, and, d) adopting appropriate whistleblower protections.
3. Facilitate the free flow of scientific and technological information, consistent with privacy and classification standards. Open communication among scientists and engineers, and between these experts and the public, accelerates scientific and technological advancement, strengthens the economy, educates the Nation, and enhances democracy. Consistent with the Administration's Open Government Initiative, agencies should expand and promote access to scientific and technological information by making it available online in open formats. Where appropriate, this should include data and models underlying regulatory proposals and policy decisions.
4. Establish principles for conveying scientific and technological information to the public. The accurate presentation of scientific and technological information is critical to informed decision making by the public and policymakers. Agencies should communicate scientific and technological findings by including a clear explication of underlying assumptions; accurate contextualization of uncertainties; and a description of the probabilities associated with both optimistic and pessimistic projections, including

best-case and worst-case scenarios where appropriate.

II. Public Communications

Agencies should develop public communications policies that promote and maximize, to the extent practicable, openness and transparency with the media and the American people while ensuring full compliance with limits on disclosure of classified information. Such policies should ensure that:

1. In response to media interview requests about the scientific and technological dimensions of their work, agencies will offer articulate and knowledgeable spokespersons who can, in an objective and nonpartisan fashion, describe and explain these dimensions to the media and the American people. ..
2. Federal scientists may speak to the media and the public about scientific and technological matters based on their official work, with appropriate coordination with their immediate supervisor and their public affairs office. In no circumstance may public affairs officers ask or direct Federal scientists to alter scientific findings.
3. Mechanisms are in place to resolve disputes that arise from decisions to proceed or not to proceed with proposed interviews or other public information-related activities.

III. Use of Federal Advisory Committees

Agencies should develop policies, in coordination with the General Services Administration and consistent with the Administration's guidance on lobbyists serving on Federal advisory committees (FACs)¹, for convening FACs tasked with giving scientific advice, consistent with the following:²

1. The recruitment process for new FAC members should be as transparent as practicable. Departments and agencies should, when practicable and appropriate, announce FAC member vacancies widely, including notification in the Federal Register with an invitation for the public to recommend individuals for consideration and for self-nominations to be submitted.
2. Professional biographical information (including current and past professional affiliations) for appointed committee members should be made widely available to the public (e.g., via a website) subject to Privacy Act and other statutory/regulatory considerations. Such information should clearly illustrate the individuals' qualifications for serving on the committee.
3. The selection of members to serve on a scientific or technical FAC should be based on expertise, knowledge, and contribution to the relevant subject area. Additional factors

¹ <http://www.whitehouse.gov/the-press-office/presidential-memorandum-lobbyists-agency-boards-and-commissions>

² Peer-review committees convened solely for the purpose of reviewing research proposals to provide input on intra- or extramural funding decisions are *not* covered by this recommendation.

that may be considered are availability of the member to serve, diversity among members of the FAC, and the ability to work effectively on advisory committees. Committee membership should be fairly balanced in terms of points of view represented with respect to the functions to be performed by the FAC.

4. Except when prohibited by law, agencies should make all Conflict of Interest waivers granted to committee members publicly available.

5. Except when explicitly stated in a prior agreement between an agency and a FAC, all reports, recommendations, and products produced by FACs should be treated as solely the findings of such committees rather than of the U.S. Government, and thus are not subject to intra- or inter-agency revision.

IV. Professional Development of Government Scientists and Engineers

Agencies should establish policies that promote and facilitate, as permitted by law, the professional development of Government scientists and engineers. Such policies should, consistent with Federal ethics rules, job responsibilities, and existing agency policies regarding political appointees:

1. Encourage publication of research findings in peer-reviewed, professional, or scholarly journals.
2. Encourage presentation of research findings at professional meetings.
3. Allow Government scientists and engineers to become editors or editorial board members of professional or scholarly journals.
4. Allow full participation in professional or scholarly societies, committees, task forces and other specialized bodies of professional societies, including removing barriers for serving as officers or on governing boards of such societies.
5. Allow Government scientists and engineers to receive honors and awards for their research and discoveries with the goal of minimizing, to the extent practicable, disparities in the potential for private-sector and public-sector scientists and engineers to accrue the professional benefits of such honors or awards.

V. Implementation

The scope of an agency's scientific work and its relationship to the mission of each department or agency may necessitate distinct mechanisms be used by each to implement this guidance. In addition, the Director of the Office of Management and Budget (OMB) will be issuing guidance to OMB staff concerning the review of draft executive branch testimony on scientific issues prepared for presentation to the Congress. That guidance will provide standards that are to be applied during the review of scientific testimony. I ask that all agencies report to me within 120 days the actions they have taken to develop and implement policies in the areas above.

Nothing in this memorandum shall be construed to impair or otherwise affect:

- (i) authority granted by law to an executive department, agency, or the head thereof; or
- (ii) functions of the Director of the Office of Management and Budget relating to budgetary, administrative, or legislative proposals.

This memorandum is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, by any party against the United States, its departments, agencies, or entities, its officers, employees, or agents, or any other person.

Any questions regarding this memorandum should be directed to integrity@ostp.gov.

200mbq_08012